

DISTRICT IMPROVEMENT PLANNING ROLES & RESPONSIBILITIES

GUIDANCE FOR DISTRICTS



Gene Wilhoit, Commissioner of Education

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PLANNING OVERVIEW

Kentucky's district improvement planning process is designed to include all stakeholders (parents, staff and administrators) in creating a plan that promotes and supports school improvement efforts at each of the schools in the district. The planning process accomplishes this task by:

- creating and sustaining a vision for improved student achievement
- establishing a district needs assessment process to determine what the district must do to help schools increase student performance
- building upon the policy role of the local board of education and school-based decision making councils (SBDM) to provide systemic methods for improvement planning.

The planning process is on-going and responsive to student needs in schools across the district. As priority needs change, so should the district plan. No mandated timeline exists to make these revisions. The only time sensitive requirement for districts is that assurances be approved by the local board by June 30th each year. The requirements to assure compliance with federal and state regulations are as follows:

Requirement	Compliance
District Assurances	Superintendent e-mail that includes the "Declaration of Compliance" statement on page 17 of this document as the text of the e-mail. This e-mail must be sent to the "KDE Assurances" mailbox on the Global Address List by June 30 th of each year.
CDIP	Posted on the district website and updated at least annually, based on the district planning cycle. Please include (Updated XX/XX/XXXX) at the end of the link you post on the district's website
Planning Cycle Determination	Include the district's planning cycle in the district planning policy.

SCHOOLS AND DISTRICTS THAT DO NOT MEET THE REQUIREMENTS OF NCLB OR KRS 158.649 HAVE ADDITIONAL REQUIREMENTS RELATED TO IMPROVEMENT PLANNING. THESE CAN BE FOUND BY GOING TO
[HTTP://WWW.EDUCATION.KY.GOV/KDE/ADMINISTRATIVE+RESOURCES/SCHOOL+IMPROVEMENT/COMPREHENSIVE+IMPROVEMENT+PLANNING/KDE+PLANNING+TOOLS+FOR+SCHOOLS+AND+DISTRICTS.HTM](http://www.education.ky.gov/kde/administrative+resources/school+improvement/comprehensive+improvement+planning/kde+planning+tools+for+schools+and+districts.htm)

THE CRITICAL STEPS OF IMPROVEMENT PLANNING

As you navigate through the critical steps, a question will be given to assist your stakeholders in focusing in on the important aspect of the particular step.

STEP #1 - NEEDS ASSESSMENT

What does the data tell us our needs are?

A comprehensive needs assessment looks at data on student performance **and** on the district practices that contribute to that performance.

For student performance, the core data source is the Kentucky Performance Report (KPR), but a district should also consider additional sources of data, such as ACT scores, formative and summative classroom assessments, and other standardized assessments. High achieving districts engage in continuous forms of assessment and do not rely solely on the annual assessment data that the KPR provides. This data will allow you to see the performance of all population groups in your district and pinpoint the areas of need. This data is critical in determining priorities.

District practices are the other part of a complete needs assessment. This data tells what your administrators, school staff members and others are doing (or not doing) to improve student achievement. In order to be current and comprehensive the needs assessment should look at curriculum, assessment, instruction, culture, family and community support, professional growth, leadership, resource allocation and the planning process. The most practical way, although not the only model, to accomplish this part of the needs assessment is to use the *Standards and Indicators for School Improvement (SISI)*. This tool will allow the district to reflect on all of these nine areas and set performance levels in each area. The district practices data will be beneficial as you look at the factors that caused your needs to exist (See Step 3).

STEP #2 - PRIORITIZING NEEDS

Which of these identified needs are of greatest concern (2-3 needs)?

Your student performance data analysis may produce a lengthy list of student needs. In the next step of the improvement planning process your district should prioritize these needs and identify just a few as the greatest concerns. It is very important that the district be focused on two to three major priority needs. More than that will cause staff, students and families to be overwhelmed and struggle to implement all strategies effectively.

STEP #3 - CAUSE ANALYSIS

What factors caused these needs of greatest concern to occur?

Without an understanding of the factors that contributed to each of your priority needs, it is difficult to set goals to address those needs. At this point in the process, return to your district practices data analysis (i.e. the SISI analysis) and reflect on why your needs exist. For example, one district might find weaknesses in resource use, while another recognizes difficulties with leadership capacity. Decide which practices are most important in explaining your student performance, and of those, which ones most need to be addressed in the district plan.

STEP # 4 - SETTING GOALS

What is our goal in addressing each these needs and when will we reach these goals?

Setting realistic and measurable goals is central to an effective planning process. Goals should be realistic in response to the factors that contributed to the need. Set a goal that is never too high or too low based on these factors. Goals should be measurable in that they should reflect a change in statistical data for some or all of your students. Finally, goals should be time sensitive, with a date by which the goal is to be achieved.

STEP #5 – A PLAN TO ACHIEVE THE GOALS

What steps will we take to reach our goals and who will oversee each step?

This is the step in the process where your district determines what things have to happen to reach your goal. It is also important to choose someone to be responsible for seeing that each step happens. The key thing to remember here is that each step to achieving your goal should either have a direct impact on students or be an important step preparing to have that impact, such as ongoing professional development and capacity-building.

STEP #6 - RESOURCES FOR ACHIEVING GOALS

What resources will we need to reach our goal?

When you have determined your goals and your activities to achieve each goal, work out how you will provide needed funding and staff time. It is important to look at all available fiscal resources and determine what program funds can be used to reach your goals. Make particular use of the flexibility offered in state categorical programs as well as any federal dollars. Also remember to take advantage of outside funding sources that could be used for general operating expenditures so that money can be freed to use for improvement goals. Finally, it is appropriate and wise to apply to your local board of education for additional district resources, usually spoken of as “Section 7” dollars, to strengthen your plan.

STEP #7 - MONITORING THE PLAN

What method(s) will we use to ensure each step is completed and how often we will check for implementation?

Each district should have a process for checking the implementation of each step towards the goal. This can be accomplished in many ways, from key staff members submitting implementation check sheets to district leaders doing walk through observations to see if the steps are occurring. This process may be set up in your local board of education's policy on planning.

STEP #8 - EVALUATING THE IMPACT ON STUDENT PERFORMANCE

What method(s) will we use to measure the effectiveness of our actions and how often will we check?

The obvious answer here is increased student performance as evidenced by increased test scores. Remember, while action steps to reach a goal are about what district employees will do, the effectiveness of those actions is in changes to the students' performance. Effectiveness can also be measured by a review of student performance data to see if any of the district's perceived weaknesses have been turned into strengths.

When you reach a goal, the process begins again. Go back to Critical Step #1 and review your needs. What is the next priority? Then jump back in at Critical Step #2 and follow through to Step #8.

POLICY GUIDELINES

The Kentucky Department of Education now asks for each board of education's policy on school improvement planning to provide systematic guidance on an effective planning process. That process should:

1. Guide school-level and district-level planning in ways that implement the Critical Steps.
2. Promote collaboration between the two levels focused on the best results for students.
3. Address the legal requirements so that those who follow the process correctly can be confident they have also done what the laws and regulations require.

To meet those three goals, the process should provide specific guidance on each issue below.

That guidance could be spelled out in your board of education policy. Alternatively, the policy could identify the issues and assign others to address them with specific response. For example, the provisions on schedule could set out a specific calendar or list what needs to be included and ask for a schedule to be set by a planning committee, a planning coordinator, or the superintendent of schools. What matters is that participants in school and district planning understand what needs to be done and can use the process to enhance student achievement.

SCHEDULE FOR PLANNING WORK

Your planning process should establish a schedule that ensure that the following legal deadlines are met:

January 31: board of education review of a district draft budget.

February 1 (odd-numbered years): council decision on achievement gap targets based on previous year's CATS results.

April 1: council approval of revised plan to address disaggregated data and meet achievement gap targets.

March 1: filing with KDE of any revisions to board of education staffing policies used for allocations.

March 1: notice to councils of staff and minimum allocations to each school council.

April 30: district notice to employees of contract renewals and non-renewals.

May 30: board of education decision on Section 7 allocations based on council requests or disaggregated data.

May 31: board of education action of Tentative Budget.

June 30: approval district assurances and e-mail submission of compliance statement in order to receive categorical funding starting July 1.

Your planning process should also ensure that other legally required tasks are completed in a timely fashion, including these:

Needs assessment addressing full range of issues at least once every three years, organized by councils at school level and appropriate group at district level.

Decision on whether school gap targets have been met, made by board of education based on even-year data.

New school achievement gap targets approval, from superintendent and board of education.

Approval of ESS and PD portions of school plans at schools that have missed an achievement gap target, by the superintendent.

Submission of school plans to the Commissioner of Education for approval if a school misses a gap target for the same group in two successive two-year cycles.

Decision on positions to be funded from allocations, made by councils in time for April 30 district notice to individual employees.

Requests for Section 7 funding, made by councils in time for May 30 deadline for districts to allocate those funds for the next school year.

Comments by the council on the budgets for each categorical program, prior to board action approving those budgets

Public meeting on school plan to meet achievement gap targets, held by principal at each school.

Review of school plans to meet achievement gap targets by the local board of education.

Ideally, the schedules set for school planning and district planning support one another, allowing time for thoughts, concerns and ideas to be exchanged and thoughtfully considered.

CRITICAL STEP 1: NEEDS ASSESSMENT WORK

Your planning process should also provide specific expectations on needs assessment work, strong enough to comply with applicable legal expectations, including:

Annual review of student achievement data by school councils.

Comprehensive needs assessment work by schools and districts.

The District Assurances specification that “The needs assessment is considered comprehensive and current if all of the following areas have been assessed at some point in the last three years: 1) curriculum; 2) classroom evaluation/assessment; 3) instruction; 4) school culture; 5) family and community involvement; 6) professional growth and evaluation; 7) leadership; 8) organizational structure and resources; and 9) an effective planning process.”

If migratory children are served, their academic performance and needs are analyzed.

CRITICAL STEP 2: PRIORITIZING NEEDS

Your planning process for schools and for the district should:

Require explicit decisions on which needs will be given priority.

Require or encourage choosing just two or three priorities to allow full focus on those issues.

Remind councils that all substantive achievement gaps must be addressed, ideally by including them as part of at least one priority need.

CRITICAL STEP 3: CAUSE ANALYSIS

Your planning process for schools and for the district should:

Require explicit judgments on what causes each priority need.

Require that each judgment be based on data from the needs assessment.

CRITICAL STEP 4: SETTING GOALS

Your planning process for schools and for the district should:

Require explicit decisions on goals.

Require clear ways each goal will be measured.

Require clear dates each goal will be met.

Remind school councils that targets for each substantive achievement gap must be addressed in school level plans, ideally by including those targets as part of at least one goal in the plan.

CRITICAL STEP 5: ACHIEVING GOALS

Your planning process for schools and for the district should:

Require explicit activities for meeting each goal.

Require clear statements of when each activity will begin and be completed.

Require clear statements of who is responsible for each activity.

CRITICAL STEP 6: RESOURCES

Your planning process for schools and for the district should:

Require explicit decisions on what resources will be needed for each activity and information on fund sources for any spending.

Encourage councils to fund some activities out of their March 1 (staff and other minimum) allocations.

Provide a process for councils to ask the board for added General fund dollars (Section 7 money) to support additional activities. (Appendix G provides a further explanation of the Section 7 process.)

Require councils to provide appropriate input on categorical program budgets to fund other activities.

CRITICAL STEP 7: MONITORING PROGRESS

Your planning process for schools and for the district should:

Require routine reviews of whether planned activities are being carried out on schedule.

Require routine opportunities for adjustments to keep that work on track.

CRITICAL STEP 8: EVALUATING IMPACT

Your planning process for schools and for the district should:

Require clear steps to evaluate whether student achievement is improved.

Require or promote use of student achievement data beyond the CATS assessment.

FORMAT FOR PLANNING DOCUMENTS

Your planning process should ensure that an appropriate format is used for each school plan and the district plan. Though there is no required format, plans should address the following information:

- The mission statement
- The priority needs the plan will address
- The causes and contributing factors for those needs
- The measurable goals to address the priority needs
- The action steps that will be taken to address the needs
- The resources needed to address the needs
- The method for monitoring implementation
- The measures to be taken to evaluate impact on student performance
- For school plans, a time schedule for eliminating any substantive achievement gaps

STAKEHOLDER PARTICIPATION IN THE PROCESS

Your planning process should ensure that:

Parents, faculty, and staff participate in setting each school's achievement gap targets.

Parents, faculty, and staff participate in developing each school plan.

In high schools with Title 1 schoolwide programs, students participate in developing the school plan.

Planning committees created by the board or any school council include reasonable representation of ethnic diversity and continually encourage minority participation.

Planning committees created by the board or any school council comply with the Open Meetings Law.

STAKEHOLDER ACCESS TO PLANNING DOCUMENTS

Your planning process should ensure that:

Each edition of school and district plans will be retained as an official record for at least five years (as required by state archive rules).

Data and data analysis records will be available for local citizens and also for any state or federal reviews of your process.

An electronic copy of each school plan will be delivered to the central office.

Copies of the school plans and the district plan will be posted on the district website after they are approved by the school council and school board respectively.

DISTRICT PLANNING PARTICIPANTS

For district planning, your process should answer the following questions:

- What committees will participate? If there will be more than one, how will they coordinate their work?

- How will committee members be chosen?
- How will various groups of stakeholders be represented?
- How will a chairperson for the committee be chosen, and what responsibilities will that person have?
- How will the district planning coordinator be chosen, and what responsibilities will that person have?
- What role will the district superintendent take in the process?
- How will the committee obtain needed financial information?
- How will the board be kept informed about planning work as it is done?

Once this policy has been developed and approved by the board, it should be the foundation for all planning that is done in the district.

OTHER KEYS TO EFFECTIVE PLANNING

SPECIFICALLY ADDRESS ACHIEVEMENT GAPS

To comply with KRS 158.649, work on achievement gaps should be fully integrated in your “critical steps” process.

Remember that every two years (by February 1 of odd-numbered years) you must specifically address your achievement gaps between population groups by setting targets to reduce those gaps.

Then, also every two years (by April 1 of odd numbered years), you must address those achievement gaps and your agreed upon targets in your planning process.

In odd-numbered years, the local board of education must review the portion of each school’s plan that sets out the activities and time schedule for reducing achievement gaps. If the district has more than twenty schools, the board may review a comprehensive report instead. The review must be conducted in a public meeting.

DISTRICTWIDE COLLABORATION

Work with district and school leaders at each step. District priority needs and causes may be related to the issues schools are seeing, and their thoughts may help you understand the situation better. In your goals and objectives, their ideas may also change your thoughts. Make sure the plan reflects the combined thinking and planning of a collaborative team.

GATHER INPUT AND BUILD SUPPORT

Every plan gets its strength from the people who are committed to it. To make sure your plan will yield results, engage many parts of your community in understanding the plan, helping you make it stronger, and ultimately becoming invested in making it work.

- Announce the meeting date and the availability of the plan for review. This announcement should be made in ways that will work for your community, such as school signs, newsletters, announcements in meetings, website notices, and (if possible) media publicity.
- Hold the public meeting to explain the plan, gather feedback and discuss issues.
- Share the feedback with your board of education and committees working on the plan.

REVIEW AND ADOPT THE PLAN ANNUALLY

The board annually reviews and adopts the official copy of the plan when board members are confident that:

- The plan clearly defines the steps for improvement and how they will accomplish the goals of the plan.
- Your district community understands the plan, supports it and is ready to make it succeed.
- The plan complies with the district assurances.

Once the plan is officially approved:

- The board chairperson and the superintendent sign the assurances.
- The original is kept at the central office as an official board record.

FOLLOW-UP ON SCHOOL ADJUSTMENTS

Whenever the district revises its plan, the goals and activities might affect the school plans as well. Communicate with the school-level planning committees as revisions occur. When the board adopts the revised plan, share copies immediately and assist schools if they need to make revisions to align with the goals and objectives of the district plan.

APPENDIX A

SAMPLE DISTRICT PLANNING POLICY

PLANNING COMMITTEE

A district planning committee, representative of the community and the school district, shall be appointed by the Superintendent and approved by the Board to develop, monitor, evaluate, and annually update both a Strategic Plan (long-term) and a district improvement plan (short-term) as stated herein. The committee shall include teachers, principals, school council members, central office administrators, Board member(s), classified staff, parents, community representatives, and a recent high school graduate.

The Superintendent shall develop, and present to the Board for review, procedures for the appointment and training of the planning committee. The Superintendent shall make the procedures known to the community and school personnel.

Selection of committee members shall reflect reasonable minority representation and encourage active minority participation.

The district improvement plan shall be compiled by District Staff and shared with the Planning Committee prior to Board review and action.

PLANNING CYCLE

The planning cycle for the district shall be from _____ to _____. A revised district improvement plan shall be presented to the Board for review and approval at least 30 days prior to the end of the planning cycle.

By the end date of the planning cycle, a copy of the most recent version of the district improvement plan will be posted to the district's website. By June 30th of each year the Superintendent and Board will sign an assurance certification and the Superintendent will send an e-mail to the Kentucky Department of Education with a declaration of compliance.

BUDGETS

By September 30th of each year, budgets for all grant programs will be developed and entered into the financial management system.

PUBLIC REVIEW

The Strategic Plan and district improvement plan shall have public review prior to presentation to the Board for final adoption.

SCHOOL PLANS

In keeping with statute (KRS 160.345), the district planning committee will set guidelines for the format of school and district improvement plans. The district improvement plan shall be broad enough to allow each school to develop its own school improvement plan, within the goals and objectives of the district plan.

PLANNING PROCESS REQUIREMENTS

The primary purposes of the district improvement planning process shall be:

- To examine student achievement information, including school and district performance on state and federally mandated testing/accountability instruments; and
- To use that information to develop district strategies and services to address deficiencies.

The district improvement planning process, will, at a minimum, address the “Critical Steps of Improvement Planning” and should document how each step will occur:

- Comprehensive Needs Assessment
- Prioritizing Needs
- Analyzing the Causes of each Need
- Setting Goals, including targets to eliminate achievement gaps
- Actions to achieve Goals
- Resources to achieve goals
- Monitoring the progress of achieving each goal
- Evaluating the impact each objective had on student performance.

APPENDIX B

CATEGORICAL PROGRAMS

FEDERAL GRANT PROGRAMS

No Child Left Behind (NCLB), Title I: Part A
Improving Basic Programs

NCLB, Title I: Part B**
Even Start Continuation

NCLB Title I: Part C
Education of Migratory Children

NCLB, Title I: Part D, Subpart 2
Neglected and Delinquent

NCLB, Title II: Part A
Teacher Quality

NCLB, Title II: Part D*
Education Technology

NCLB Title III: Part A, Subpart 1
Language Instruction for Limited English Proficient and Immigrant Students

NCLB, Title IV: Part A*
Safe and Drug Free Schools and Communities

NCLB, Title V: Part A*
Innovative Programs

NCLB, Title VI: Part B, Subpart 2
Rural and Low Income Schools

Individuals with Disabilities Education Act (IDEA)
Basic

Individuals with Disabilities Education Act (IDEA)
Preschool

Carl D. Perkins Vocational and Technical Education Act
Basic Grant

Stewart B. McKinney-Vento Homeless Assistance Act of 2001**
Title X: Part C Continuation

STATE GRANT PROGRAMS

- Flexible Focus Fund
 - Extended School Services
 - Professional Development
 - State Preschool Program
 - Textbooks
 - Safe Schools*
- Kentucky Education Technology System
- Gifted and Talented Education
- Community Education (03-04)

OTHER PROGRAMS

Universal Service Administrative Company (USAC)
Schools and Libraries Division
E-Rate Program

Center for School Safety (CSS)

Commonwealth School Improvement Funds (CSIF)

*Federal Transferability (No Child Left Behind - NCLB)

**Initial Award Made Through Separate Competitive Application

District Assurances and E-mail Instructions

Submission of Assurances

A separate address has been set up in the **Global Address List** to enable district personnel to email Assurances to KDE. Please choose "**KDE Assurances**" from the Global Address List for the "To:" box when submitting email to guarantee the Assurances for your plan. In the Subject Line, enter: Assurances for _____ District. In the message box, please send the following message:

As Superintendent of the _____ school district, I declare that all the schools in our district (including private schools receiving funding from our district) are in compliance with all of the assurances listed in the Assurances document. These assurances were approved at a regular meeting of the _____ Board of Education on _____. The approval is contained in the Board minutes that are available for review at the district's central office. All pertinent information related to these assurances is available for review at the district's central office."

By submitting this e-mail you are assuring all of the following assurances:

LOCAL EDUCATION AGENCY: General Assurances

1. A comprehensive and current needs assessment, consistent with local board policy, supports the district improvement plan. The needs assessment is considered comprehensive and current if all of the following areas have been assessed at some point in the last three years: 1) curriculum; 2) classroom evaluation/assessment; 3) instruction; 4) school culture; 5) family and community involvement; 6) professional growth and evaluation; 7) leadership; 8) organizational structure and resources; and 9) an effective planning process.
2. The district has a planning policy in place for school councils to follow that describes the form and function of school improvement planning in the district as per KRS 160.345(3)(c). This policy includes a description of the district's annual planning cycle (with dates). The district and all schools develop their improvement plans in accordance with this policy and with the involvement of representative groups, including required members of the needs assessment team.
3. The local school district reviews its district improvement plan at least annually and revises as needed. Implementation of activities and strategies described in the action plan are evaluated for impact on student performance and classroom practices. The local school district assures that at least annually, an updated district improvement plan is approved by the local board and posted on the World Wide Web.
4. The local school district will administer each covered program in accordance with all program plans and applications.
5. Before its district improvement plan is posted, the district has afforded a reasonable opportunity for public comment on the plan and has considered such comment.
6. Where appropriate, the local school district will consult with private school officials in a timely and meaningful way to assure equitable participation of children and/or teachers in the private schools.
7. The local school district will coordinate and collaborate with other agencies as required by the No Child Left Act Behind (NCLB) Title I, Parts A, C, and D; NCLB Title II, Parts A, B and D; NCLB Title IV, Title V, Title VII, Title X, Part C, the Individuals with Disabilities Education Act (IDEA), and the Carl D. Perkins Vocational and Technical Education Act of 1998
8. The local school district will adopt and use proper methods of administering the covered programs, including: implementation of obligations, the correction of deficiencies in program operations as identified through technical assistance, program audits, monitoring or evaluation, and the adoption of written procedures for the receipt and resolution of complaints alleging violations of law in the administration of such programs

9. The local school district will cooperate in carrying out any evaluation of each program conducted by or for the Kentucky Department of Education (KDE), or the U. S. Department of Education.
10. The local school district will:
 - a. Provide timely program reports to the Kentucky Department of Education on activities and expenditures, including reports requested by the U. S. Department of Education
 - b. Maintain records, provide information, and afford access to the records as the Kentucky Department of Education or the federal offices may find necessary to carry out their responsibilities
11. The local school district will comply with the Civil Rights Act of 1964, Title VI, Title VII, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, American Disabilities Act of 1990, and the Age Discrimination Act prohibiting discrimination on the basis of race, color, national origin, age, religion, marital status, sex or disability.
12. The local school district assures that its district improvement plan describes steps it will take to ensure equitable access to, and equitable participation in, the project or activity to be conducted with such assistance, by addressing the special needs of students, teachers, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers to gender, race, color, national origin, disability, and age. [General Education Provisions Act (GEPA) Section 427].
13. The local school district will comply with the Single Audit Act.
14. The local school district has control of programs and holds title to property acquired with the funds. The district will administer the funds and property as required by the authorizing law and for the purpose for which they are granted. The district retains control in the event of contractual arrangements made with other parties.
15. The local school district will use fiscal control and fund accounting procedures (MUNIS) to ensure proper disbursement of and accounting for federal/state funds paid to the district under the covered programs.
16. The local school district will submit an amendment prior to opening an object code series or to purchase equipment that costs \$5,000 or more per unit after the initial budget has been submitted and approved.
17. The local school district assures that:
 - a. Federal appropriated funds have not been paid or are paid by or on behalf of the local school district, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress, in connection with the making of any federal grant, for entering any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.
 - b. Any funds other than federal appropriated funds have not been paid or are paid to any person for influencing or attempting to influence an officer or employee of any agency in connection with the federal grant, the superintendent shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
18. The superintendent shall require that these assurances and certifications be included in the award documents for all sub-grantees.
19. Federal funds received under covered programs are used only to supplement and in no case supplant funds from non-federal sources.

20. If the project involves construction, the project is consistent with overall state plans for the construction of school facilities; and, in developing plans for construction, due consideration is given to excellence of architecture and design, compliance with the Americans with Disabilities Act and standards prescribed by the Secretary under Section 504 of the Rehabilitation Act of 1973 in order to ensure that facilities constructed with the use of federal funds are accessible to and usable by individuals with disabilities [GEPA, Sec. 436(b)].
21. Federal funds received will not be used to acquire equipment (including computer software) when such acquisition results in a direct financial benefit to an organization representing the interests of the school district or its employees or any affiliate of such organization [GEPA, Sec. 436(b)].
22. The local school district will maintain procedures to minimize the time elapsing between the transfer of federal grant funds and their disbursement [Education Department General Administrative Regulations (EDGAR) 80.21].
23. Any plan, budget, evaluation, periodic program plan, or report relating to the covered programs is made readily available to parents and other members of the general public for the purpose of public inspection (EDGAR 76.304). The local school district will comply with the Open Records Act.
24. Children served in covered programs will have access to all state and locally funded instructional, social, health, transportation, and nutritional services on the same basis as any other child and have the opportunity to meet the same challenging content and performance standards as any other child.
25. The local school district will comply with the Debarment, Suspension, and other Responsibility matters regulation [34 Code of Federal Regulations (CFR) 85.11].
26. The local school district will comply with assurance of Compliance (Form HEW 441) or any court ordered desegregation plan that applies to this application.
27. The local school district will comply with the Gun-Free Schools Act of 1994.
28. The local school district will comply with the Pro-Children Act of 1994.
29. The local school district will comply with the Family Educational Rights and Privacy Act of 1974 (FERPA).
30. The local school district shall certify that no policy of the district or the school prevents or otherwise denies participation in constitutionally protected prayer in the public schools (K-12) (ESEA PL107-110 Section 9524).
31. The local school district will comply with all provisions of KRS 158.649 relating to the reduction of achievement gaps among student populations.
32. The district improvement plan includes specific strategies to support schools that have not meet Adequate Yearly Progress.
33. The district improvement plan includes specific strategies to support schools that have not meet the goals of the Commonwealth Accountability Testing System (CATS).
34. All current school improvement plans are on file in the district's central office for review.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE I PART A ASSURANCES: IMPROVING BASIC PROGRAMS

1. The local school district will use state and local funds to provide services in Title I schools that are comparable to services provided to non-Title I schools. A district-wide comparability policy has been established which provides for:
 - a. A salary schedule that applies to all instructional personnel
 - b. Equivalence among school teachers, administrators, and auxiliary personnel
 - c. Equivalence among schools in the provision of curriculum materials and instructional supplies

Note: Written procedures and supporting data for this policy are on file in the local school board office.
(Moved first sentence from general assurances since it fits here)

2. The local school district will set aside funds to provide services to homeless children who attend non-Title I schools.
3. The local school district will provide technical assistance to and consult with schools as they develop and implement their school wide programs in order to reach the standard of proficiency by 2014 as measured by the Commonwealth Accountability Testing System. The district will inform eligible schools and parents of school wide authority and of the ability to consolidate funds from Federal, State, and Local sources.
4. The local school district will consult with schools as they develop and implement their targeted assistance programs in order to reach the standard of proficiency by 2014 as measured by the Commonwealth Accountability Testing System. This includes ensuring that eligible migrant and formerly migrant children are selected to receive services on the same basis as other children.
5. The local school district will consult with schools as they develop and implement parent involvement activities.
6. The local school district will comply with the requirements regarding the qualifications for teachers and paraprofessionals and professional development. This includes ensuring that unqualified, out-of-field teachers, or inexperienced teachers do not teach low-income and minority students at higher rates than other students.
7. The local school district will assist Title I schools in developing and identifying high-quality, effective curricula.
8. The local school district will take into account model programs and findings of scientifically based research indicating that services may be most effective if focused on the earliest grades.
9. The local school district will comply with Head Start performance standards if funds are used for preschool services (except Even Start programs or programs using the Even Start model).
10. The local school district will not carry over more than 15% of the Title I, Part A allocation as of September 30. This requirement does not apply to districts with an allocation of less than \$50,000.
11. The local school district will use results of assessments to review progress of schools in meeting proficiency by 2014. The district will provide assessment results to parents and teachers as soon as possible in an understandable form and language. The district will fulfill school improvement responsibilities. The district will coordinate and collaborate with the KY Department of Education and other agencies to assist schools identified for improvement.

12. The local school district will participate (if selected) in the National Assessment of Educational Progress at Grades 4 and 8 in reading and math.
13. The local school district will inform eligible schools of the district's authority to obtain waivers under Title IX.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE I PART B ASSURANCES: EVEN START CONTINUATION

1. The local school district/agency assures that families most in need will be served by the Even Start program.
2. The local school district/agency assures the Even Start program is of sufficient intensity, scope and quality to give reasonable promise of substantial progress toward meeting the education needs of families to be served.
3. The local school district/agency assures the Even Start program will build on existing community resources of high quality.
4. The local school district/agency assures the Even Start program integrates the following components:
 - a. Interactive literacy activities between parents and their children
 - b. Training for parents
 - c. Parent literacy training that leads to self-sufficiency
 - d. Age-appropriate education for the children
5. The local school district/agency assures the Even Start program will use instructional programs for adults and children based on scientifically based reading research.
6. In the case of families participating in Even Start who are also limited English proficient or are disabled, the local school district/agency assures there is maximum coordination between services provided under this chapter and services provided to address participant's disabling conditions or limited English proficiency.
7. The local school district/agency assures eligible participants are a parent or parents who are eligible for participation in an adult basic education program under the Adult Education Act and the child or children (from birth through age 7) of those parents. Additionally, children over age 7 may be allowed to participate in the Even Start program if Title II, Part B funds contribute to cost of the services.
8. The local school district/agency will provide both enrichment and instructional services to participating families during the summer months.
9. Even Start funds shall not be used to provide services that the applicant is specifically required to provide by state law or pursuant to a formal determination under Title VI of the Civil Rights Act, Title IV of the Education Amendments of 1972 or Section 504 of the Rehabilitation Act of 1973, as amended or pursuant to a final order of a court.
10. Qualified personnel are employed to develop, administer and implement the Even Start program. Beginning 2001-02, all new personnel hired must have at a minimum a bachelor's degree in a field related to early childhood education, elementary or secondary education or adult education. For all Even Start staff providing early childhood instruction (0-5) the Interdisciplinary Early Childhood Education Certificate (IECE) is required.
11. Personnel or programs funded through Even Start will not be included in state funding.

12. Documentation of non-Even Start matching funds is maintained locally.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE I PART C ASSURANCES: EDUCATION OF MIGRATORY CHILDREN

1. Districts will not discriminate against children who are not legally admitted to the United States by denying them access to educational programs offered to children of U. S. citizens; neither shall the district:
 - a. Require students or parents to disclose or document their immigration status
 - b. Make inquiries of students or parents which may expose their undocumented status
 - c. Require social security numbers of all students, as it may expose the undocumented status of students or parents (Plyler v. Doe, 457 U.S. 202, 1982)
2. Section 1304(b)(3) of the Elementary and Secondary Education Act states that the Kentucky Department of Education must promote interstate and intrastate coordination of migrant education services, including the transfer of pertinent school records, for migratory children. School districts must meet privacy requirements of FERPA as listed in General Assurances No. 27. In carrying out this requirement, the signed Certificate of Eligibility (COE), by the migrant child's parent or legal guardian will serve as a consensual written permission to share personally identifiable information from their migrant record with authorized local and state education officials and to transfer such information to appropriate education officials in other states having migrant programs.
3. Districts or educational cooperatives serving as administrative centers will maintain a written record (Certificate of Eligibility) of the basis on which each child was determined to be eligible.
4. Districts will coordinate the migrant program with schoolwide projects and other programs within the district.
5. Districts/regional project centers will fully participate in a system for the storage of data and the transfer of migrant student records.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE I PART D SUBPART 2 ASSURANCES: NEGLECTED AND DELINQUENT

The local school district will assure that transitional and supportive programs operated under this subpart shall be designed primarily to meet the transitional and academic needs of students returning to local educational agencies or alternative education programs from correctional facilities. Services to students at-risk of dropping out of school shall not have a negative impact on meeting the transitional and academic needs of the students returning from correctional facilities.

The local school district will have a written document describing the program to be assisted which addresses the following requirements in SEC. 1423 of NCLB: Local Educational Agency Applications:

1. a description of the program to be assisted;
2. a description of formal agreements, regarding the program to be assisted, between—
 - a. the local educational agency; and
 - b. correctional facilities and alternative school programs serving children and youth involved with the juvenile justice system;
3. as appropriate, a description of how participating schools will coordinate with facilities working with delinquent children and youth to ensure that such children and youth are participating in an education program comparable to one operating in the local school such youth would attend;

4. a description of the program operated by participating schools for children and youth returning from correctional facilities and, as appropriate, the types of services that such schools will provide such children and youth and other at-risk children and youth;
5. a description of the characteristics (including learning difficulties, substance abuse problems, and other special needs) of the children and youth who will be returning from correctional facilities and, as appropriate, other at-risk children and youth expected to be served by the program, and a description of how the school will coordinate existing educational programs to meet the unique educational needs of such children and youth;
6. as appropriate, a description of how schools will coordinate with existing social, health, and other services to meet the needs of students returning from correctional facilities, at-risk children or youth, and other participating children or youth, including prenatal health care and nutrition services related to the health of the parent and the child or youth, parenting and child development classes, child care, targeted reentry and outreach programs, referrals to community resources, and scheduling flexibility;
7. as appropriate, a description of any partnerships with local businesses to develop training, curriculum-based youth entrepreneurship education, and mentoring services for participating students;
8. as appropriate, a description of how the program will involve parents in efforts to improve the educational achievement of their children, assist in dropout prevention activities, and prevent the involvement of their children in delinquent activities;
9. a description of how the program under this subpart will be coordinated with other Federal, State, and local programs, such as programs under title I of Public Law 105- 220 and vocational and technical education programs serving at-risk children and youth;
10. a description of how the program will be coordinated with programs operated under the Juvenile Justice and Delinquency Prevention Act of 1974 and other comparable programs, if applicable;
11. as appropriate, a description of how schools will work with probation officers to assist in meeting the needs of children and youth returning from correctional facilities;
12. a description of the efforts participating schools will make to ensure correctional facilities working with children and youth are aware of a child's or youth's existing individualized education program; and
13. as appropriate, a description of the steps participating schools will take to find alternative placements for children and youth interested in continuing their education but unable to participate in a regular public school program.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE II PART A ASSURANCES: HIGH QUALITY TEACHERS AND PRINCIPALS

1. The district has conducted an assessment of local needs for professional development and hiring that involved teachers, including teachers participating the programs under Part A of Title 1. The needs assessment identifies activities needed to give teacher the subject matter knowledge and teaching skills and to give principals the instructional leadership skills to help teachers provide students with the opportunity to meet state and local student academic achievement standards.
2. The district will target funds to schools that have (1) the lowest proportion of highly qualified teachers; (b) the largest average class size; or (c) have been identified for school improvement under Title 1Part A.
3. The district has consulted with appropriate private, nonprofit school personnel and has made arrangements with school officials to assure equitable participation in assessing needs, setting performance indicators, developing professionals and measuring improvement in teaching and learning.
4. Funds from Part D of Title II are integrated with funds form Part K (technology) of Title II.

5. Professional development activities provided through this program are coordinated with professional development activities provided through other federal, state and local programs.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE II PART D ASSURANCES: EDUCATION TECHNOLOGY

1. The district must ensure that the use of federal Ed Tech funds will improve the academic achievement, including technology literacy, of all students and to improve the capacity of all teachers to integrate technology effectively into curriculum and instruction.
2. The district has specified goals, aligned with challenging state standards, for using advanced technology to improve student academic achievement.
3. The district has identified how the use of federal Ed Tech funds will help students in high-poverty and high-needs schools, or schools identified for improvement or corrective action under section 116 of Title I, and to help ensure that teachers are prepared to integrate technology effectively into curricula and instruction.
4. The district has identified how it promotes curricula and teaching strategies that integrate technology effectively into curricula and instruction, based on a review of relevant research and leading to improvements in student academic achievement.
5. The district has identified that it will provide ongoing, sustained professional development for teachers, principals, administrators, and school library media personnel to further the effective use of technology in the classroom or library media center. A minimum of 25% of the federal Ed Tech funds, both competitive and formula, have been used to provide professional development.
6. The district has record of the type and costs of technology that is acquired with federal Ed Tech funds, including provisions for interoperability of components.
7. The district has coordinated activities funded through the federal Ed Tech program with technology-related activities supported with funds from other sources.
8. The district has integrated technology (including software and electronically delivered learning materials) into curricula and instruction, and a timeline for this integration.
9. The district has identified how it will encourage the development and use of innovative strategies for the delivery of specialized or rigorous courses and curricula through the use of technology, including distance learning technologies, particularly in areas that would not otherwise have access to such courses or curricula due to geographical distances or insufficient resources.
10. The district has identified how it will use technology effectively to promote parental involvement and increase communication with parents, including a description of how parents will be informed of the technology used.
11. The district has identified the program will be developed, where applicable, in collaboration with adult literacy service providers.
12. The district has in place the process and accountability measures that will be used to evaluate the extent to which activities funded under the program are effective in integrating technology into curricula and instruction, increasing the ability of teachers to teach, and enabling students to reach challenging state academic standards.
13. The district has identified the supporting resources, such as services, software, other electronically delivered learning materials, and print resources, that will be acquired to ensure successful and effective uses of technology.

14. As required by state regulation 701 KAR 5:110, the district will only procure those technologies that meet KETS standards, if a standard for that category has been established, regardless of source of funds as set forth in the *Master Plan for Education Technology*.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE III ASSURANCES: LANGUAGE INSTRUCTION FOR LIMITED ENGLISH PROFICIENT AND IMMIGRANT STUDENTS

1. The eligible entity (LEA/school district/consortium) assures that it has developed a district plan for educating all Limited English Proficient (LEP) students within its jurisdiction. It also assures that a copy of the district LEP plan will be provided to all schools receiving Title III funds and that the plan and its contents will be made available to LEP families and the public in compliance with open records laws.
2. The eligible entity (LEA/school district/consortium) assures that it will provide equal educational opportunities to all LEP students and uphold such rights regardless of citizenship or nationality status, as provided under Title VI of the Civil Rights Act of 1964, the Equal Educational Opportunity Act of 1974, Sec. 204(f), and as affirmed in the Supreme Court ruling in Plyer v. Doe, 1982, and any other civil rights guaranteed by federal law.
3. The eligible entity (LEA/school district/consortium) assures that it will expend all Title III funds to improve the education of limited English proficient (LEP) children by assisting the children to speak, read, write and comprehend the English language and to meet challenging state content and performance standards.
4. The eligible entity (LEA/school district/consortium) with substantial increases in immigrant students assures that it will use Title III emergency immigrant funds in a manner consistent with activities under Sec. 3115 (e) of Title III.
5. The eligible entity (LEA/school district/consortium) assures that its proposed plan is based on approaches and methodologies consistent with scientifically based research on teaching LEP and immigrant students.
6. The eligible entity (LEA/school district/consortium) assures that its proposed plan describes how language instruction programs will ensure that LEP students develop English proficiency.
7. The eligible entity (LEA/school district/consortium) assures that all teachers in its LEP programs are fluent in English and any other language used for instruction, including written and oral communication skills.
8. The eligible entity (LEA/school district/consortium) assures that it will use Title III funds in ways that will build district and school capacity to continue to offer high-quality language instruction educational programs for LEP students.
9. The eligible entity (LEA/school district/consortium) assures that its LEP programs, strategies and funding allocations are aligned and integrated with the Comprehensive District Improvement Plan (CDIP) and Comprehensive School Improvement Plans (CSIP).
10. The eligible entity (LEA/school district/consortium) assures that it has developed annual specific, measurable achievement objectives for LEP and immigrant students to include, at a minimum,
 - a. Annual increases in the number or percentage of students making progress in learning English (as measured by an approved English language proficiency assessment for Kentucky);
 - b. Annual increases in the number or percentage of students attaining English language proficiency (as measured by an approved English language proficiency assessment for Kentucky);

- c. Making adequate yearly progress for the district's LEP and immigrant students (as measured by academic assessments included in the Commonwealth Accountability Testing System (CATS) in the areas of mathematics, reading or language arts and science).
11. The eligible entity (LEA/school district/consortium) assures that it will hold accountable all elementary, middle and high schools receiving Title III funds in meeting the district's annual measurable achievement objectives (as stated in the previous assurance statement) through a program evaluation submitted to the district at the end of the fiscal year.
 12. The eligible entity (LEA/school district/consortium) assures that it will annually assess the English language proficiency (in reading, writing, listening, speaking and understanding) of all identified LEP and immigrant students in the district using a test approved by the Kentucky Board of Education.
 13. The eligible entity (LEA/school district/consortium) assures that it will disaggregate cognitive and non-cognitive student data from all components of CATS and set biennial measurable goals for closing the gap between LEP and non-LEP students as set forth in KRS 158.649.
 14. The eligible entity (LEA/school district/consortium) assures that a Program Services Plan will be developed for each LEP and immigrant student in the district. The Program Services Plan will, at a minimum, include all essential elements required by Title III of No Child Left Behind (NCLB) and Kentucky's Regulations on Inclusion of Special Populations in State Assessment and Accountability (703 KAR 5:070, revised August 2002).
 15. The eligible entity (LEA/school district/consortium) assures that all LEP and immigrant students enrolled in the school district on the first day of the CATS testing window, and who have been in the same district/school the previous full academic year, or in any English-speaking school for the previous two full academic years, will participate in all components of the state-required assessment and accountability programs.
 16. The eligible entity (LEA/school district/consortium) assures that parents/legal guardians of all LEP and immigrant students in the district will be notified within 30 days after the beginning of the school year of a) the child's identification as LEP, b) the child's program instructional services, and c) parental rights to opt out of services or to seek alternative services as outlined in Sec. 3302 (a) (b) (c) of Title III. For a child who has not been identified for participation in a language instruction education program prior to the beginning of the school year, the eligible entity assures that it will carry out subsections (a) through (c) within two (2) weeks of the child being placed in such a program.
 17. The eligible entity (LEA/school district/consortium) assures that it will promote parental and community participation in programs for LEP students.
 18. The eligible entity (LEA/school district/consortium) assures that it will determine primary or home languages spoken by students on an annual basis through such strategies as the student enrollment form, a home language survey or interviews with parents/legal guardians. This information will be used for identification of LEP and immigrant students.
 19. The eligible entity (LEA/school district/consortium) assures that it will submit to the Kentucky Department of Education all demographic and programmatic information, including the requirements of Sec. 3123 of Title III, pertinent to the implementation of the Title III program and the provision of services to LEP and immigrant students.
 20. The eligible entity (LEA/school district/consortium) assures that it developed its proposed plan in consultation with teachers, school administrators, parents, researchers, and if appropriate, with education-related community groups and nonprofit organizations, and institutions of higher education.
 21. The eligible entity (LEA/school district/consortium) assures that it has consulted with non-public schools within its area of service in the development of the district LEP plan, and that it will administer and

provide on an equitable basis educational services to LEP students in non-public schools through a public agency or a contractual entity independent of the non-public schools or religious organizations.

22. The eligible entity (LEA/school district/consortium) assures that all Title III funds will supplement, but in no case supplant, federal, state and local public funds for programs for LEP and immigrant students.
23. The eligible entity (LEA/school district/consortium) assures that at the end of the fiscal year it will submit to KDE a Title III program evaluation to include a description of programs and activities and of the progress made by LEP students towards attaining English language proficiency and meeting state academic achievement standards as set forth in Sec. 3121 of Title III.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE IV PART A ASSURANCES: SAFE AND DRUG-FREE SCHOOLS & COMMUNITIES

1. The local school district assures that the activities or programs to be funded comply with the principles of effectiveness described in section 4115 (a) and foster a safe and drug-free learning environment that supports academic achievement.
2. The local school district assures that drug and violence prevention programs supported under this subpart convey a clear and consistent message that acts of violence and the illegal use of drugs are wrong and harmful.
3. The local school district assures that the applicant has, or the schools to be served have, a plan for keeping schools safe and drug-free that includes:
 - a. appropriate and effective school discipline policies that prohibit disorderly conduct, the illegal possession of weapons, and the illegal use, possession, distribution, and sale of tobacco, alcohol, and other drugs by students;
 - b. security procedures at school and while students are on the way to and from school;
 - c. prevention activities that are designed to create and maintain safe, disciplined, and drug-free environments;
 - d. a crisis management plan for responding to violent or traumatic incidents on school grounds; and
 - e. a code of conduct policy for all students that clearly states the responsibilities of students, teachers, and administrators in maintaining a classroom environment that:
 - i. allows a teacher to communicate effectively with all students in the class
 - ii. allows all students in the class to learn
 - iii. has consequences that are fair, and developmentally appropriate
 - iv. considers the student and the circumstances of the situation, and
 - v. is enforced accordingly
4. The local school district assures that the application and any waiver request under section 4115(a)(3) will be available for public review after submission of the application.
5. The district has on file a description of the methods used for documenting and measuring progress toward achieving its drug/alcohol and safety related goals.

6. The local school district assures that the current job description and the activities of personnel funded in whole or in part under this program are directly related to measurable prevention goals and objectives on file in the local school.
7. In accordance with Section 4155, the applicant assures that it will facilitate the transfer of disciplinary records, with respect to a suspension or expulsion, by local education agencies to any private or public elementary school or secondary school for any student who is enrolled or seeks, intends, or is instructed to enroll on a full or part-time basis. The transfer of such records shall be consistent with the Family Educational Rights and Privacy Act of 1974.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE V PART A ASSURANCES: INNOVATIVE PROGRAMS

1. The local educational agency will comply with this part (Sec. 5133 Local Application), including the provisions of section 5142 concerning the participation of children enrolled in private non-profit schools.
2. The local educational agency will keep such records, and provide such information to the State education agency, as may be reasonably required for fiscal audit and program evaluation (consistent with the responsibility of the State educational agency under this part).
3. That (a) programs carried out under this part will be evaluated annually; (b) the evaluation will be used to make decisions about appropriate changes in programs for the subsequent year; (c) the evaluation will describe how assistance under this part affected student academic achievement and will include, at a minimum, information and data on the use of funds, the type of services furnished, and the students served under this part; and
4. The evaluation will be submitted to the State educational agency at the time and in the manner requested by the State educational agency.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE VI PART B, SUBPART 2 ASSURANCES: RURAL AND LOW-INCOME SCHOOLS PROGRAM

General Assurances cover this program.

NO CHILD LEFT BEHIND ACT (NCLB) TITLE X PART C ASSURANCES: STEWART B. MCKINNEY-VENTO HOMELESS ASSISTANCE ACT

1. The local school district will adopt policies and practices to ensure that homeless children and youths are not stigmatized or segregated on the basis of their status as homeless.
2. The local school district will designate an appropriate staff person, who may also be a coordinator for other Federal programs, as a local educational agency liaison for homeless children and youths.
3. The school district will adopt policies and practices to ensure that transportation is provided at the request of the parent or guardian (or in the case of an unaccompanied youth, the liaison), to and from the school of origin, in accordance with the following as applicable:
 - a. If the homeless child or youth continues to live in the area served by the local educational agency in which the school of origin is located, the child's or youth's transportation to and from the school of origin shall be provided or arranged by the local educational agency in which the school of origin is located.

CARL D. PERKINS VOCATIONAL AND TECHNICAL EDUCATION ACT

1. Federal funds received under Title I, Part C of Public Law 105.332 are used to improve vocational and technical education programs.
2. Funds are used according to the requirements identified in Title I, Part C, Section 135 (Documentation of Required & Permissive Uses of Funds).
3. None of the funds made available under this Act may be used to provide funding under the School-to-Work Opportunities Act of 1994 or to carry out, through programs funded under this Act, activities that were funded under the School-to-Work Opportunities Act of 1994 unless the programs funded under this Act serve only those participants eligible to participate under this Act (Section 6).
4. Eligible recipients shall not receive an allocation under Section 131(a) unless the amount allocated is greater than \$15,000.00. Those whose allocation is not greater than \$15,000.00 may apply for a waiver or form a consortium (Section 131).
5. The eligible recipient ensures that students who participate in vocational and technical education programs are taught to the same challenging academic proficiencies all other students (Section 134(b)(3)(c)).
6. Eligible recipients shall involve parents, students, teachers, representatives of business and industry, labor organizations, representatives of special populations, and other interested individuals in the development, implementation, and evaluation of vocational and technical education programs assisted under Title I. Eligible recipients shall maintain documentation on how such individuals and entities are effectively informed about, and assisted in understanding the requirements of Title I (Section 134(b)(4)).
7. Eligible recipients will provide a vocational and technical education program that is of such size, scope, and quality to bring about improvement in the quality of vocational and technical education programs (Section 134(b)(5)).
8. The local school district will implement a process to independently evaluate and continuously improve its performance (Section 134(b)(6)).
9. Eligible recipient (a) will review vocational and technical education programs, and identify and adopt strategies to overcome barriers that result in lowering rates of access to or lowering success in programs, for special populations, and (b) will provide programs that are designed to enable the special populations to meet the state adjusted levels of performance (Section 134(b)(7)).
10. Individuals who are members of the special populations will not be discriminated against on the basis of their status as members of the special populations (Section 134(b)(8)).
11. Funds will be used to promote preparation for nontraditional training and employment (Section 134(b)(9)).
12. Comprehensive professional development (including initial teacher preparation) for vocational and technical, academic, guidance, and administrative personnel will be provided (Section 134(b)(10)).
13. The local school district shall not bar students attending private, religious, or home schools from participation in programs or services under this Act (Section 313).
14. No funds made available under the Carl D. Perkins Vocational and Technical Education Act of 1998 shall be used:
 - a. to require any secondary school student to choose or pursue a special career path or major, or

- b. to mandate that any individual participate in a vocational and technical education program, including a vocational and technical education program that requires the attainment of a federally funded skill level, standards, or certificate of mastery (Section 314).
15. No funds received under Carl D. Perkins Vocational and Technical Education Act of 1998 may be used to provide vocational and technical programs to students prior to the seventh grade, except that such students may use equipment and facilities purchased (Section 315).
16. The local school district shall follow guidelines for Level of Consequences for Perkins Accountability based on Perkins Performance Measures as notified by KDE. The district must use a specific percentage of Perkins funds to address the Not Mets on the Perkins Performance Measures Annual Report as indicated by their Level of Consequence.

INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA) PART B ASSURANCES: BASIC AND PRESCHOOL

1. The expenditures of IDEA-B funds for services and goods are made exclusively for the benefit of children who meet the definitions and eligibility criteria for programs for exceptional children as found in 707 KAR Chapter 1.
2. Special education and related services are provided in a manner consistent with policies and procedures required by the Individuals with Disabilities Education Act (IDEA) Part B. These policies and procedures address: free appropriate public education, child identification, due process, evaluation, eligibility, individual education programs, placement in least restrictive environment, delivery of services, confidentiality, non-public school, comprehensive system of personnel development, and IDEA-B funds.
3. A goal of full educational opportunity has been established for all children with disabilities, aged birth through 21.

CHILD NUTRITION AND WIC REAUTHORIZATION ACT OF 2004, SECTION 204 ASSURANCES: LOCAL WELLNESS POLICIES

1. The local educational agency will comply with all provisions of this part.
2. The local educational agency will keep such records, and provide such information to the State educational agency, as may reasonably be required for program evaluation (consistent with the responsibility of the State educational agency under this part).
3. That (a) all programs carried out under this part will be assessed annually (pursuant both to this part and to KRS 158.856); (b) a report of the assessment will be issued to parents, local board members and council members; (c) comment will be solicited regarding the findings of the report and the recommendations for improvement contained in the report; (d) the recommendations and public comments will be used to make decisions about improvements in the covered programs for the subsequent year and beyond; and
4. A summary of the findings of the assessment and the recommendations will be submitted to the Kentucky Board of Education on or before March 1 of each year.

STATE PRESCHOOL PROGRAM ASSURANCES (FLEXIBLE FOCUS FUND)

1. The district has a current, signed agreement with the local Head Start program to maximize Head Start funds to serve as many eligible four-year-old children as possible, with certification from the Head Start director that the Head Start program is fully utilized.

2. When the district contracts with an outside agency for preschool placements, the contractor has been approved by the Kentucky Department of Education for these purposes and the contracted services meet all state and federal education requirements.
3. All preschool education programs operated by or located on school grounds meet state education facility requirements for preschool programs. All materials and equipment used by these programs are appropriate for young children. Test sheets, workbooks and ditto sheets shall not be used (704 KAR 3:410).
4. All children enrolled in preschool education programs that operate at least half-day are offered a meal while in the program (breakfast and/or lunch).
5. All instructional staff for preschool education programs meets qualification standards and professional development requirements for preschool, as specified by regulation.
6. The district has a written plan (policies and procedures) for the operation of the preschool program that addresses: recruitment of children; educational programming and related services; developmentally appropriate experiences in cognitive, communication, social, physical, and emotional development as well as creative expression; a curriculum which is relevant and reflective of the needs of the population served, in which a variety of skills are integrated into activities targeted toward the interests of children (704 KAR 3:410); parent outreach and active involvement; coordination of health and social services; coordination with the primary program; and an evaluation plan.
7. Local school districts shall assure that appropriations to the local school district for the preschool program shall be separate and apart from all other funds and that the use of the funds appropriated for the preschool program shall be limited to activities for the implementation of the preschool program. (702 KAR 3:250).

PROFESSIONAL DEVELOPMENT ASSURANCES (FLEXIBLE FOCUS FUND)

1. The district certifies that each teacher participates in high quality professional development and that instructional improvement and training needs of staff are addressed in accordance with the goals in KRS 158.6451.
2. School and districts will adhere to professional development options embedded in their school or district improvement plans as professional development programs are implemented under KRS 158.070.
3. The district certifies that all persons affected by the professional development program are represented or included on the school and district planning teams.
4. The district certifies that the local professional development coordinator is qualified for that position and provides technical assistance to school councils, staff members and professional development committees as described in Section 5 of 704 KAR 3:035.
5. Professional development funds are expended and accounted for as required in 704 KAR 3:035 and funds are used for needs identified in the school and district planning process.

TEXTBOOKS AND INSTRUCTIONAL MATERIALS ASSURANCES (FLEXIBLE FOCUS FUND)

1. The district certifies that the textbook/instructional materials purchasing plans for all schools serving grades P-8 have been approved by the appropriate school councils and the local board of education and are on file in the district office. The plans address the requirements as stated in KRS 156.439 and 704 KAR 3:455.
2. The district certifies that an annual report and summary of expenditures for textbooks and instructional materials is available on the district's MUNIS report. The annual report addresses the requirements as stated in KRS 156.439 and 704 KAR 3:455.

GIFTED AND TALENTED ASSURANCES

1. The local school district has in operation and available for public inspection local board approved policies and procedures which address each requirement in 704 KAR 3:285 (Sections 1-10), the administrative regulation for programs for the gifted and talented, and are consistent with KRS 157.200, 157.224, 157.230 and 703 KAR 4:040.
2. The local school district adheres to the definitions in Section 1 of 704 KAR 3:285 for primary through grade twelve (12).
3. The local school district has adopted policies and procedures for the identification and diagnosis of gifted characteristics, behaviors, and talent and determination of eligibility for services, primary through grade twelve (12) consistent with 704 KAR 3:285. (Section 3)
4. The local school district has implemented a procedure to obtain information related to the interests, needs, and abilities of an identified student from her/his parent or guardian for use in determining appropriate services and notifies a parent or guardian annually of services included in her/his child's gifted and talented student services plan and specific procedures to follow in requesting a change in services. (Section 3)
5. The local school district has adopted a procedure for determining eligibility for services primary through grade twelve (12). (Section 4)
6. The local school district conducts an annual program evaluation process. The local school district has ensured that school personnel report to a parent or guardian the progress of her/his child related to the gifted and talented student services plan at least once each semester (Section 5).
7. The local school district provides articulated primary through grade twelve (12) multiple service delivery options. No single service option exists alone, district wide, at a grade level (Section 6).
8. A comprehensive framework or course of study for children and youth, primary through grade twelve (12), who are diagnosed as possessing gifted characteristics, behaviors and talent is based on a district or school's curricula required to meet the goals established in KRS 158.6451 (Section 7).
9. Each school has differentiated, replaced, supplemented, or modified curricula to facilitate high level attainment of the learning goals established in KRS 158.6451 and assists students identified as gifted and talented to further develop their individual interests, needs, and abilities (Section 7).
10. The local school district has ensured that direct services to students identified as demonstrating gifted and talented behaviors and characteristics are provided by professionally qualified and certified personnel as required by the Education Professional Standards Board (Section 8).
11. State funds for gifted education are used specifically for direct services to students who are gifted and talented. Direct services to students identified as demonstrating gifted and talented behaviors and characteristics are provided by professionally qualified and certified personnel as required by the Education Professional Standards Board. Seventy-five (75) percent of the district's gifted education allocation is used to employ properly certified personnel to provide direct instructional services (Section 9).
12. The district has designated a gifted education coordinator to oversee the district gifted education operation, serve as liaison between the district and the state, ensure internal compliance with state statutes and administrative regulations, administer and revise the gifted education program budget, and submit to the Kentucky Department of Education for approval as an amendment any local district budget decision change causing a major or significant adjustment, thereby, impacting state funds for gifted education after the annual submission of the local district education plan (Section 9).

13. State funding is contingent upon employing properly certified personnel to administer and teach in the program, annual submission of the local district gifted education year-end report, summative evaluation of the program and student progress, and complying with this regulation (Section 9).
14. The local school district has established a district wide grievance procedure through which a parent, guardian or student may resolve a concern regarding the appropriate and adequate provision of talent pool services or services addressed in a formally identified student's gifted and talented student services plan (Section 10).

EXTENDED SCHOOL SERVICES (ESS) ASSURANCES (FLEXIBLE FOCUS FUND)

1. New legislation introduced in House Bill 626 during the Spring 2002 General Assembly was approved to amend KRS 158.070 (8) to add new flexibility for ESS programs in schools and districts as follows:

"The Kentucky Board of Education shall promulgate administrative regulations establishing criteria for the allotment of grants to local school districts *and shall include criteria by which the commissioner of education may approve a district's request for a waiver to use an alternative service delivery option, including providing services during the school day on a limited basis.* These grants shall be allotted to school districts to provide instructional programs for pupils who are identified as needing additional time to achieve the outcomes defined in KRS 158.6451. A school district that has a school operating a model early reading program under KRS 158.792 may use a portion of its grant money as part of the matching funds to provide individualized or small group reading instruction to qualified students outside of the regular classroom during the school day."

2. The local school board and the district have approved and disseminated procedures whereby pupils who have a greater need as determined by the eligibility criteria as stated in KRS 158.070 and 704 KAR 3:390 shall be referred and selected first to receive extended school services. The district further ensures that students who have greater academic need as stated in KRS 158.070 and 704 KAR 3:390 are not excluded from referral or selection for extended school services due to the inability of the parent or student to provide transportation to or from the school or site of extended school services programs.
3. The school informs parents or guardians of extended school services as follows:
 - a. A general notification which describes the nature of the services to be offered including the opportunities for maintenance of performance, prevention of failure and reduction of academic deficiencies;
 - b. A specific notification of their child's eligibility to receive extended school services; and
 - c. Written procedures for parents or guardians to request reconsideration of their children's identification or lack of identification of eligibility for extended school services.
4. (If applicable) The most current policy developed by the local school board that mandates attendance for any student(s) to Extended School Services is on file at the offices of Extended School Services, Kentucky Department of Education.
5. Accurate time logs are maintained for personnel receiving salary from Extended School Services. Such salary is for direct services to the Extended School Services program. No ESS staff member is paid more than his/her actual hourly rate for a comparable position in the regular program.
6. The district has written criteria for the selection of ESS staff (certified and classified). ESS teachers and other ESS staff are first employed based on having the specific expertise to meet the needs of the students being served. All other criteria for employment are both fair and equitable to applicants.
7. Accurate records are maintained for student attendance to Extended School Services and of student progress toward individual goals.

8. Students not enrolled in ESS are allowed to ride the buses provided through ESS funds only to the extent that it does not increase the cost of such transportation to ESS.

KENTUCKY EDUCATION TECHNOLOGY SYSTEM (KETS) ASSURANCES AND UNIVERSAL SERVICE ADMINISTRATIVE COMPANY (USAC) E-RATE ASSURANCES

Successful technology plans align the criteria in these eight assurances with the overall education improvement objectives. It is critical that technology planning not be viewed or treated as a separate exercise dealing primarily with hardware and telecommunications infrastructure. There must be strong connections between the infrastructure of the information technology and the professional development, curriculum resources; and effective uses by teachers, students, and school leaders.

1. The local school district establishes clear goals and a realistic strategy for using telecommunications and information technology to improve education. [Section 254 (h)(1)(B), of the Telecommunications Act of 1996, & FCC order 97-157, Paragraph 573] (Web site: <http://www.universalservice.org/sl/>)
2. The local board of education agrees to conform to the guidelines for filtering technologies regarding student and staff Internet access as provided in the Master Plan for Education Technology, including the implementation and maintenance of approved filtering technology in the district and in every school. The local school district agrees to adopt an acceptable use policy in accordance with the guidelines for acceptable use policies as provided in the *Master Plan for Education Technology*. The acceptable use policy contains language which will prohibit access to objectionable materials, including sexually explicit materials, and shall include, but not be limited to, parental consent for student Internet use, teacher supervision of student computer use, and auditing procedures to determine whether education technology is being used for the purpose of accessing sexually explicit or other objectionable material. The acceptable use policy also contains provisions that prohibit students, faculty, staff and others with network access from using district resources to establish Internet email accounts through third party providers or any other non-standard electronic mail. [KRS 156.160, 98 RS BR 1621 (SB 230), 701 KAR 5:120]
3. Districts are required by state regulation 701 KAR 5:110 to procure only those technologies that meet KETS standards, if a standard for that category has been established, regardless of source of funds as set forth in the *Master Plan for Education Technology*.
4. The local school district has a professional development strategy to ensure that all students, teachers, and administrators know how to use current and new technologies to support educational goals.
5. The local school district assesses the telecommunication services, hardware, software, and other services that will be needed to support education.
6. The local board provides for sufficient funds to acquire and support the elements of technology: hardware, software, professional development, and other services that will be needed to implement the strategy.
7. The local district agrees to conform to the KETS Electronic Mail Standards and Best Practices Guidelines. These guidelines communicate the basic standards for statewide electronic mail including State Level Shared Distribution Lists as incorporated by reference into the *Master Plan for Education Technology*. (<http://www.education.ky.gov/KDE/Administrative+Resources/Technology/Master+Plan/default.htm>)
8. The local school district includes an evaluation process that enables the school to monitor progress toward the specified goals and make mid-course corrections in response to new developments and opportunities as they arise.

All districts will complete the Technology Tools Readiness Survey. The information collected will be used by local school districts, local Boards of Education, Legislators, and the Kentucky Board of Education to determine the needs for implementing the KETS Master Plan initiatives, technology funding, on-line applications, and on-line testing. The District Technology Leader (CIO/DTC) should work with the KETS Customer Relationship Manager (CRM - formerly KETS Engineer) to complete this form. Upon completion, the final report must be submitted to the KETS CRM. The District Technology Leader should make a copy of the Technology Tools Readiness Survey to be placed with the Comprehensive Improvement Plan documentation filed at the district. The report due December 1 will reflect data for July 1 – June 30 of the previous fiscal year.

Technology Activity Report—Due September 30

All districts will complete the Technology Activity Report. Upon completion, this report is submitted to the Office of Education Technology. The Technology Activity Report reflects district technology expenditures and progress on categorical purchases for statewide reporting. The report September 30 will reflect data for July 1 – June 30 of the previous fiscal year.

APPENDIX D

AMENDMENT GUIDELINES FOR DISTRICT PLANS

Even though an extensive planning process has been used, there may be occasions when changes to the school or district plan are required to meet unexpected needs. There are some situations when an **amendment** is required:

- An amendment is required to open an object code series once a program budget has been approved in writing or electronically by the state or federal program staff in the Kentucky Department of Education. There is no limitation on over-expending in an approved object code series as long as the total allocation is not exceeded. The expenditure report may reflect over-expenditures and under-expenditures in individual object codes.
- An amendment is required to purchase equipment that costs \$5,000 or more per unit after the initial budget has been submitted and approved. This is not a change in inventory procedures. Inventory procedures must follow state guidelines unless the federal guidelines are more restrictive.

The local district superintendent or his/her designee submits amendments via email to the Kentucky Department of Education program contact. Results of the amendment review by Kentucky Department of Education program staff are completed within ten working days and the district is notified by email.

Download further instructions from the KDE web page:

<http://www.education.ky.gov/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>

APPENDIX E

Flexible Focus Funds

What is the Flexible Focus Fund?

The Flexible Focus Fund (FFF) was created by the legislature beginning with the 2003-2004 state budget. Basically, the allocations for five categorical programs (Professional Development, Extended School Services, Preschool, Textbooks, and Safe Schools) have been modified to permit the state and local school districts additional flexibility in the distribution of program funds while still addressing the governing statutes and serving the need and the intended student population.

Services in each program area must still be provided according to all statutes and/or regulations established for each program. As an example, the requirement to pass on 65% of the district's allocation for Professional Development to its schools is still in effect. The state is simply now giving districts flexibility in how they fund these required programs. The district now decides how much funding each program will receive to provide required services and where that funding will come from.

Download further instructions from the KDE web page:

<http://www.education.ky.gov/KDE/Administrative+Resources/School+Improvement/Comprehensive+Improvement+Planning/Funding+and+Finance.htm>

APPENDIX F

NCLB Transferability

Grants are included in the NCLB Transfer Pool

- Title II –Teacher Quality (401X)
- Title IV – Safe & Drug Free Schools (406X)
- Title V – Innovative Strategies (334X)
- Title II, Part D – Federal Ed Tech (425X)

Rules for Transfer

Up to 50% of any of the funds in the Pool can be re-allocated to any other funds in the Pool or to Title I (310X). No Title I funds may be allocated to the grants in the Pool. District must make written notification to KDE 30 days prior to the transfer of funds. **Districts that have been identified for improvement under Title I, Part A may are limited to transferring up to 30 percent of its formula allocation among the federal programs.**

Download further instructions from the KDE web page:

<http://www.education.ky.gov/KDE/Administrative+Resources/Doing+Business+With+KDE/Fiscal+Year+Grant+Allocations.htm>

APPENDIX G

Section 7 Allocations

Section 7 allocations are a flexible part of the process of allocating money to school councils. Section 7 of the school council allocation formula governs the distribution of money left in the General Fund after March 1 allocations and district wide expenses.

How much money is allocated under Section 7?

The answer depends on five other financial figures:

- Your Tentative Budget total for your General fund, the one that needs board approval by the end of May.
- Your district wide expenses. The MUNIS categories are defined in Section 3 of the school council allocation formula, but your planning process should have a major influence on the dollar figures budgeted in each category.
- The certified staff allocations given to all schools on March 1, following the rules in Section 4 of the allocation formula.
- The classified staff allocations given March 1 following the rules in Section 5.
- The minimum allocations given March 1 following rules in Section 6.

Very simply, you take the General Fund and subtract district wide, certified, classified, and minimum, and the result is the amount that must be allocated under Section 7.

How is the Section 7 money distributed?

The allocation regulation allows three options:

- Your councils can identify needs based on their school improvement plans, and your board can designate some or all of those needs for funding.
- Your board can use disaggregated data to identify student needs for special funding. For example, if students in poverty have consistently lower scores, the district might provide extra dollars per student so that schools can give them extra support.
- Money not allocated by either of the other methods is distributed based on prior year average daily attendance.

When is Section 7 money distributed?

By May 30 each year for the coming school year.